

**IN THE UNITED STATES DISTRICT COURT
FOR THE WESTERN DISTRICT OF PENNSYLVANIA**

JOHN RUDOLF,

Plaintiff,

v.

AMERICAN INTERNATIONAL
GROUP, INC., NATIONAL UNION
FIRE INSURANCE COMPANY OF
PITTSBURGH, PA., and ALEXANDER
BAUGH,

Defendants.

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: *Electronically Filed*
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: Civil Action No. 2:19-cv-01468
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: Magistrate Judge Maureen P. Kelly
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JOINT STATEMENT OF UNDISPUTED FACTS

Plaintiff, John Rudolf (“Plaintiff” or “Rudolf”), and Defendants, American International Group, Inc. (“AIG, Inc.”), National Union Fire Insurance Company of Pittsburgh, Pa. (“National Union” and, collectively with AIG, Inc. and their respective subsidiaries and affiliates, “AIG”), and Alexander Baugh (“Baugh,” together with AIG, Inc. and National Union, “Defendants”), by and through undersigned counsel, file this Joint Statement of Undisputed Facts, stating as follows:

1. Rudolf commenced employment with National Union on October 17, 1994. Over the course of his tenure, Rudolf had various responsibilities and held various roles and titles. Rudolf’s last working day was November 20, 2017.
2. National Union is incorporated in the state of Pennsylvania. As of the time of Rudolf’s separation, National Union’s principal place of business was 175 Water Street New York, NY 10038.

3. AIG, Inc. is incorporated in the state of Delaware. AIG, Inc. is a publicly-held corporation. As of the time of Rudolf's separation, AIG, Inc.'s principal place of business was 175 Water Street, New York, NY 10038.

4. Baugh had various responsibilities and held various roles and titles during his tenure. Baugh's employment commenced in June 1983 and continued through his retirement in April 2022.

5. In November 2017, Baugh held the title of Chief Executive Officer of North America General Insurance and had a business address at 175 Water Street New York, New York 10038.

6. Rudolf is male and was born in 1964.

7. Baugh is male and was born in 1961.

8. Rudolf held a senior role in the Loss Management Unit from in or about 2000 to in or about 2006.

9. James Cole, Esq. ("Cole"), then of the law firm Bryan Cave LLP, was selected by the Department of Justice and approved by the Securities and Exchange Commission as the Independent Consultant to examine certain AIG transactions and to conduct a review related to certain AIG policies and procedures. Cole was appointed in 2005.

10. In connection with Cole's work as Independent Consultant, Plaintiff had interactions with Cole.

11. Rudolf was based for a number of years in AIG's New York offices and then relocated to AIG's offices in Pittsburgh, PA in or around 2006, where he remained until his separation in November 2017.

12. In 2013, the Financial Stability Oversight Council of the U.S. Treasury Department designated AIG, Inc. as a systemically important financial institution (“SIFI”). In September 2017, AIG, Inc.’s SIFI designation was removed.

13. In 2013, Plaintiff was promoted from a job grade 24 to a job grade 26. From 2013 through his separation in November 2017, Rudolf continued to be a job grade 26.

14. Robert Schimek (“Schimek”), who is male and born in 1965, had various responsibilities and held various roles and titles during his tenure. Schimek’s employment ended effective October 31, 2017.

15. Jeremy Johnson (“Johnson”), who is male and born in 1971, had various responsibilities and held various roles and titles during his tenure. Johnson’s employment ended in November 2017.

16. In or about September 2016, Rudolf approached Johnson and spoke with him about his dissatisfaction with his compensation.

17. In or about April 2017, Rudolf approached Schimek and spoke with Schimek about his dissatisfaction with his compensation.

18. On the morning of Sunday, November 12, 2017, Rudolf contacted Baugh by text message requesting to speak with him.

19. Rudolf and Baugh participated in a telephone call on the morning of Sunday, November 12, 2017.

20. Baugh and Rudolf agreed to meet in person on Tuesday, November 14, 2017 at AIG’s offices in New York, NY.

21. After the call, at 11:50 a.m. on November 12, 2017, Baugh wrote an email to his manager, Peter Zaffino, at the time CEO, General Insurance, and Tracy McMillan, then Head of Human Resources, General Insurance.

22. On Monday morning, November 13, 2017, Rudolf received a telephone call from Andrew J. Curtin (“Curtin”), Senior Managing Director and AIG’s Global Head of Investigations.

23. On November 13, 2017, Rudolf engaged in discussions with Curtin and other members of AIG’s Global Investigative Group (“GIG”). And on November 14, 2017, Rudolf engaged in additional discussions with Curtin and other members of GIG

24. Among other things, GIG informed Rudolf over the phone on November 13, 2017 and again in person on November 14, 2017 that AIG has a strict anti-retaliation policy to protect anyone who reports wrongdoing.

25. Rudolf and Baugh met in person on Tuesday, November 14, 2017, at or about 8:00 a.m.

26. On November 14, 2017, Rudolf had conversations with Rick Joers (“Joers”), then AIG’s Head of Employee Relations, Americas.

27. On November 14, 2017, Joers sent an email at 5:28 p.m. to in-house counsel Annette Bernstein, Yogita Naik (“Naik”) (then Senior Human Resources Executive for General Insurance), and Ryan Merritt (“Merritt”) (then Human Resources Business Partner).

28. Naik forwarded that email to Baugh on November 14, 2017 at 7:57 p.m.

29. On Wednesday, November 15, 2017 at 1:41 p.m., Rudolf sent an email to Joers and the two spoke around 2:45 p.m during which Joers told Rudolf that Baugh would like to meet with him on Friday, November 17, 2017.

30. Rudolf sent an email to Baugh, copying Joers, on November 15, 2017 at 4:59 p.m.

31. Baugh and Rudolf arranged to meet on Monday, November 20, 2017.

32. On Monday, November 20, 2017, Rudolf met with Baugh and Merritt.

33. On November 20, 2017, AIG presented Rudolf with a proposed Settlement Agreement and Release.

34. On or about April 25, 2018, Rudolf filed a Charge of Discrimination against Defendants with the U.S. Equal Employment Opportunity Commission.

35. On or about May 8, 2018, Rudolf filed a complaint against Defendants with the U.S. Department of Labor, OSHA.

Dated: July 14, 2022

Respectfully submitted,

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